

2.1 Milestones. Regional Administrators, Science Directors, and Office Directors will ensure that the status of all milestones within their organizations is accurately reported in the electronic Annual Operating Plan (eAOP) database. Key milestones are tagged within the eAOP with a

“Program AOP” flag of *Yes*, indicating that the milestone is tracked by a PPBES Program and reported in their quarterly quad chart.

By the last day of each month, all milestones tagged for inclusion in a Program Annual Operating Plan, and due for completion in the current year (even if the due date has not yet arrived), will be annotated with either actual or projected status according to the procedures described in this section.

- a. Milestones that have passed their Planned Completion date will be updated with current status using the "Status" field drop-down menu, and a completion date will be entered in the "Actual Completion" date field if it is completed. The "Accomplishment Narrative" text field will be used to describe the completion or, if not completed, to provide the explanation and new projected completion timeframe.
- b. Milestones not yet due for completion, but planned within the current year will require text entered in the ""Accomplishment Narrative" text field, providing a current projected completion status to indicate whether the milestone is on schedule or anticipated to be missed (i.e., enter a simple statement such as "Milestone is on schedule as of 4/1/06"). Those anticipated to be missed will require additional text in this "Accomplishment Narrative" text field describing reasons, any impacts and a new projected completion date.
- c. The original "Planned Completion" field date is never adjusted after Programs have finalized their Annual Operating Plans.
- d. Milestones completed late will show a status of "Completed" and the "Accomplishment Narrative" field will address the late completion and any impact. The status of "Late" is reserved for those milestones still not completed.

It is anticipated that these procedures will be modified for FY 2007. Milestone data fields in the eAOP will be adjusted to improve milestone status reporting procedures for milestones that have not reached their due date. Instruction within the eAOP Users Guide will be updated to provide any adjusted procedures and this procedural directive will be updated at the next annual review.

2.2 Quarterly Reporting. Each quarter, Program Managers within NMFS will provide two reports to MB as follows:

Mid Quarter Progress Report - by the 15th of the second month of each quarter each Program Manager will provide a status report to MB. The focus of the mid-quarter reporting will be to give a “heads up” to senior management before the quarter has ended and while there is still time to take action if necessary. The report will be in the form of an email to MB (To: Gary Reisner, cc: Jim Cohen, John Bortniak) providing:

- a. status of all milestones for their program due in the current quarter, including a specific list of any anticipated to be missed.
- b. projected impact of any milestones that will be missed, and any recommendations to NMFS senior management to complete the milestone or mitigate any impact;

- b. projected performance measure quarterly result (i.e., performance on target or unlikely to reach target, with explanation of reason, projected “actual” number, and specifics on any stock, species, etc. that is off target).

End of Quarter Report - A full performance report will be due one week prior to quarter closing (in order to meet quarterly reporting deadlines of NOAA and the Department of Commerce). Performance measure numbers will be considered preliminary and will be updated no later than 1 week after end of the quarter. Quarterly performance reports will be in the form of a memo approved and signed by the Program Manager. The memo will form the basis for updating the performance measure repository and for reporting to NOAA and Department of Commerce, and will include:

- a. all reported performance numbers, accompanied by a full explanation of how they were obtained (i.e., the mix of species, stocks, restoration projects, assessments, etc. that make up the reported number;
- b. an explanation of any change from the previous report or of any deviation from the mid-quarter report or expected change reported previously;
- c. any information concerning whether the Agency is likely to reach or miss its annual target, with a corresponding discussion of the reasons for a missed target and potential mitigation measures, including any recommended actions for NMFS or NOAA senior leadership;
- d. any known upcoming development that could impact performance measures or targets;
- e. identification of specific stocks or species, where applicable, when addressing progress in or barriers to reaching targets;
- f. proposed revisions to targets and actuals, as appropriate, with justifications for proposed revisions (i.e., two stocks formally become a single stock, etc.).

2.3 Quad Charts. Each quarter, in addition to reporting current monthly performance status each Program Manager will coordinate their quarterly quad chart reporting through MB. NOAA has set the due date for quad charts as the third Monday following end of quarter (sometimes adjusted due to holidays).

- a. Program Managers within NMFS will attend a meeting with the Deputy AA for Operations and the Director, MB. The meeting will be held within one week of the quarterly quad chart due date to NOAA. At this meeting each Program Manager will present a draft quad chart for review.
- b. This meeting formalizes the process of obtaining DAA approval before submitting quad charts to NOAA.
- c. All revised and approved quad charts will be sent to MB and will be forwarded to NOAA by MB.

d. MB will post quad charts to the NMFS Intranet.

e. Information reported in quad charts should be consistent with that housed in e-AOP.

3. Periodic Performance Measure Adjustments Performance measure targets can be changed only at key points in the budget process and sometimes only in response to changes in funding levels. The limited windows of opportunity to adjust performance measure targets as part of the budget process may not correspond to the reporting schedule described in Section 2 above. Accordingly, performance measure targets will be revised as required according to the following procedure:

a. MB will notify the Programs when target revisions are needed, as far in advance of the due date as possible. Targets will be explicitly associated with a specific funding level, and will need to be revised to reflect any changes in that level as a result of management or legislative action.

b. Each Program Manager will provide MB with performance measure target revisions as requested in accordance with the Program business rules to be developed as outlined in Section 4 below.

4. Program Business Rules Within 30 days of the publication of this procedure, each Program will submit to MB a draft Procedural Directive documenting the established procedures for tracking and reporting on each of its performance measures. Business rules will be part of the metadata of each performance measure. Business rules will be submitted in the form of a single Procedural Directive from each Program containing a separate subsection tailored specific to each measure. The business rules identify and describe, at a minimum, the following:

a. criteria to determine progress in meeting a performance target (e.g., the criteria for identifying when an unknown stock becomes known or what criteria or level of recovery an endangered species must demonstrate to be considered stable or increasing; this should include criteria for the reverse, i.e. when a known stock becomes unknown or a stable or increasing species is no longer considered stable or increasing);

b. description of the specific counting methodology, algorithm, or other formula used to generate the numbers (e.g., How a restoration project counts “acres” restored. Describe how the Fish Stock Sustainability Index (FSSI) number is generated.);

c. reporting source (i.e., identification of data source and process to generate the performance data);

d. definitions of all terms in each measure;

e. composition of the target and baseline number (i.e., identification of the species, stocks, etc., that are being counted to generate both planned targets and actual numbers.) and the methodology and process for setting the targets;

- f. criteria for identification of the PPA's and capabilities that support the measure (i.e. the rationale for deciding which PPA funding levels influence the level of performance)
- g. description of how the measure is affected by changes in funding levels and how targets corresponding to different funding scenarios are determined
- h. additional contingencies that could potentially impact the result in unanticipated ways (e.g. changing definitions or baselines, inconclusive or rejected stock assessments, or court decisions)
- i. approval structure (i.e., identification of those below the program manager level who will sign off on the measure's data.);
- j. timing of when data updates are available and the periodicity of available reporting mechanisms (e.g., if data are only available upon publication of an annual report, name the report, its usual publication date, and describe why it is the only available source.)
Timing of publication of such periodic reports should be made to coincide, wherever possible, with NOAA annual performance reporting cycles (i.e. end of the quarter or fiscal year).